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FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 130.00

Complete if Known

Application Number 10/635,976
Filing Date August 7, 2003
First Named Inventor Richard E. Smalley
Examiner Name Not yet assigned
Art Unit 1754
Attorney Docket No. 11321-P012USD14

RECEIVED

DEC 29 2003

METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

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Account
Number
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Account
Name

23-2426

Winstead Sechrest & Minick P.C.

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) or any underpayment of fee(s)

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1001 770	2001 385	Utility filing fee	
1002 340	2002 170	Design filing fee	
1003 530	2003 265	Plant filing fee	
1004 770	2004 385	Reissue filing fee	
1005 160	2005 80	Provisional filing fee	

SUBTOTAL (1) (\$)

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	-20** =	X	
Multiple Dependent	-3** =	X	

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
1202 18	2202 9	Claims in excess of 20
1201 86	2201 43	Independent claims in excess of 3
1203 290	2203 145	Multiple dependent claim, if not paid
1204 86	2204 43	** Reissue independent claims over original patent
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity

Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
1051 130	2051 65	Surcharge - late filing fee or oath	
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	
1053 130	1053 130	Non-English specification	
1812 2,520	1812 2,520	For filing a request for <i>ex parte</i> reexamination	
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	
1251 110	2251 55	Extension for reply within first month	
1252 420	2252 210	Extension for reply within second month	
1253 950	2253 475	Extension for reply within third month	
1254 1,480	2254 740	Extension for reply within fourth month	
1255 2,010	2255 1,005	Extension for reply within fifth month	
1401 330	2401 165	Notice of Appeal	
1402 330	2402 165	Filing a brief in support of an appeal	
1403 290	2403 145	Request for oral hearing	
1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1452 110	2452 55	Petition to revive - unavoidable	
1453 1,330	2453 665	Petition to revive - unintentional	
1501 1,330	2501 665	Utility issue fee (or reissue)	
1502 480	2502 240	Design issue fee	
1503 640	2503 320	Plant issue fee	
1460 130	1460 130	Petitions to the Commissioner	130.00
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	
1806 180	1806 180	Submission of Information Disclosure Stmt	
8021 40	8021 40	Recording each patent assignment per property (times number of properties)	
1809 770	2809 385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810 770	2810 385	For each additional invention to be examined (37 CFR 1.129(b))	
1801 770	2801 385	Request for Continued Examination (RCE)	
1802 900	1802 900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 130.00

SUBMITTED BY

Name (Print/Type) Ross Spencer Garsson Registration No. 38,150 Telephone 512.370.2870
Signature [Signature] (Attorney/Agent) Date 12/22/03

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Director of the United States Patent

012401

DATE	INVOICE NUMBER	MEMO	BALANCE
12/19/2003	12192003D ANGE 54 11321-P012USD14	10999-99999-01530-001 CLIENT UNBILLED COSTS ADVANCED Advance for Filing Fees for Petition	130.00
CHECK DATE 12/23/2003	CHECK NUMBER 000012401	TOTAL	130.00

ORIGINAL CHECK HAS A COLORED BACKGROUND PRINTED ON CHEMICAL REACTIVE PAPER

WINSTEAD
 WINSTEAD SECHREST & MINICK
 Attorneys and Counselors

 5400 RENAISSANCE TOWER
 1201 ELM STREET
 DALLAS, TEXAS 75270
 PH 214.745-5400

A Professional Corporation Client Advance Account - CDA

Comerica

 COMERICA BANK & TRUST, N.A.
 8850 BOEDEKER STREET
 DALLAS, TEXAS 75225

 74-478
 724

012401

PAY: One Hundred Thirty and 00/100 Dollars

NUMBER	DATE	AMOUNT
000012401	12/23/2003	*****130.00

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 ORDER OF
**Director of the United States Patent
 and Trademark Office**

 WINSTEAD SECHREST & MINICK P.C.
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⑈012401⑈ ⑆072404786⑆ 2176993653⑈

Director of the United States Patent

012401

DATE	INVOICE NUMBER	MEMO	BALANCE
12/19/2003	12192003D ANGE 54 11321-P012USD14	10999-99999-01530-001 CLIENT UNBILLED COSTS ADVANCED Advance for Filing Fees for Petition	130.00
CHECK DATE 12/23/2003	CHECK NUMBER 000012401	RECEIVED DEC 29 2003 OFFICE OF PETITIONS	TOTAL 130.00

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FEE TRANSMITTAL
for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT** (\$) 130.00**Complete if Known**

Application Number	10/635,976
Filing Date	August 7, 2003
First Named Inventor	Richard E. Smalley
Examiner Name	Not yet assigned
Art Unit	1754
Attorney Docket No.	11321-P012US

RECEIVED**DEC 29 2003****OFFICE OF PETITIONS****METHOD OF PAYMENT (check all that apply)**☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None☒ Deposit Account:Deposit Account Number
Deposit Account Name

23-2426

Winstead Sechrest & Minick P.C.

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments☒ Charge any additional fee(s) or any underpayment of fee(s)☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)					(\$)

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

		Extra Claims	Fee from below	Fee Paid
Total Claims		-20** =	X	
Independent Claims		-3** =	X	
Multiple Dependent				

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
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1205	18	2205	9	** Reissue claims in excess of 20 and over original patent
SUBTOTAL (2) (\$)				

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
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1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
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1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
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1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
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1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 130.00**SUBMITTED BY**

(Complete if applicable)

Name (Print/Type)	Ross Spencer Garsson	Registration No. (Attorney/Agent)	38,150	Telephone	512.370.2870
Signature		Date	12/24/03		

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DATE	INVOICE NUMBER	MEMO	BALANCE
12/19/2003	12192003E ANGE 54 11321-P012USD14	10999-99999-01530-001 CLIENT UNBILLED COSTS ADVANCED	130.00
		Advance for Filing Fees for Response to Notice of Missing Parts	
CHECK DATE	CHECK NUMBER		
12/23/2003	000012402	TOTAL	130.00

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WINSTEAD™
 WINSTEAD SECHREST & MINICK
 Attorneys and Counselors

 5400 RENAISSANCE TOWER
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 DALLAS, TEXAS 75270
 PH 214-745-5400

A Professional Corporation Client Advance Account - CDA


 COMERICA BANK & TRUST, N.A.
 8850 BOEDEKER STREET
 DALLAS, TEXAS 75225
74-478
724

012402

PAY: One Hundred Thirty and 00/100 Dollars

NUMBER	DATE	AMOUNT
000012402	12/23/2003	*****130.00

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⑈012402⑈ ⑆072404786⑆ 2176993653⑈

Director of the United States Patent

DATE	INVOICE NUMBER	MEMO	BALANCE
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CHECK DATE	CHECK NUMBER		
12/23/2003	000012402	TOTAL	130.00

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**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 11321-P012USD14

First Inventor Richard E. Smalley

Title Carbon Fibers Formed from Single-Wall . . .

Express Mail Label No. EL 823 269 375 US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 98]
(preferred arrangement set forth below)
- Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 21]
5. Oath or Declaration [Total Pages 45]
- a. ☐ Newly executed (original or copy)
- b. ☒ Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
- i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR
1.63(d)(2) and 1.33(b).
6. ☒ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO:Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
- ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement of Power of Attorney
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122
(b)(2)(B)(i). Applicant must attach form PTO/SB/35
or its equivalent.
17. ☒ Other: Subst: POA; Revoc: POA; and PCT/US
Dec:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP) of prior application No.: 09, 380,545

Prior application information:

Examiner: Stuart Hendrickson

Group Art Unit: 1754

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☒ Correspondence address below

Name Ross Spencer Garsson

Address Winstead Sechrest & Minick P.C.
P.O. Box 50784, 1201 Main Street

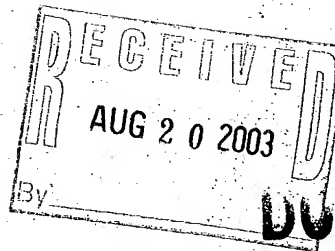
City Dallas State Texas Zip Code 75250-0784

Country U.S.A. Telephone 512.370.2870 Fax 512.370.2850

Name (Print/Type) Ross Spencer Garsson Registration No. (Attorney/Agent) 38,150

Signature [Signature] Date 8/7/03

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DOCKET NO: 11321-FOIZUSDA CLIENT (Ref): 100919 ATTY/PRLG PSG/AR
Inv/Applicant: EMAULEY ET AL TITLE: CARBON FIBERS FORMED FROM ...

<input checked="" type="checkbox"/> New Patent Application:	<input checked="" type="checkbox"/> Transmittal Letter	App'l/Grant No: _____
<input checked="" type="checkbox"/> App'l Data Sheet	<input checked="" type="checkbox"/> Fee Transmittal	PTO RECEIPT DATE STAMP:
<input type="checkbox"/> Provisional	<input checked="" type="checkbox"/> Check(s) - \$ <u>750.00</u>	<div style="border: 1px solid black; width: 200px; height: 100px;"></div>
<input type="checkbox"/> Prov Cvr Sheet	<input type="checkbox"/> Issue Fee <input type="checkbox"/> Check - \$ _____	
<input checked="" type="checkbox"/> Utility	<input type="checkbox"/> Maintenance Fee Transmittal	
<input type="checkbox"/> CONT	<input type="checkbox"/> Check - \$ _____	
<input checked="" type="checkbox"/> CP / <u>STV</u>	<input type="checkbox"/> PCT Request	
<input type="checkbox"/> CPA / RCE	<input type="checkbox"/> PCT Chapter II Demand	
<input type="checkbox"/> Plant	<input type="checkbox"/> PCT Fee Calculation Sheet	
<input type="checkbox"/> Design	<input type="checkbox"/> APPEAL <input type="checkbox"/> APPEAL BRIEF <input type="checkbox"/> REPLY BRIEF	
<input type="checkbox"/> PCT	<input type="checkbox"/> Petition-Extension of Time - _____ Months <input type="checkbox"/> Check - \$ _____	
<input checked="" type="checkbox"/> Drawing(s) <u>21</u> Sheets	<input type="checkbox"/> PETITION: _____	
<input type="checkbox"/> Gene Sequence	<input type="checkbox"/> FORM _____	
<input type="checkbox"/> Computer Readable	<input type="checkbox"/> FORM _____	
<input type="checkbox"/> Paper Copy	<input type="checkbox"/> Response to FORM _____	
<input checked="" type="checkbox"/> Declaration <u>APP</u>	<input checked="" type="checkbox"/> Response/Amendment <u>PRELIMINARY</u>	
<input type="checkbox"/> Power of Attorney	<input type="checkbox"/> Resp. to Notice: Non-Compliant App'l / Missing Parts / Inv. To Correct Defects	
<input checked="" type="checkbox"/> PCT - Original / <u>Copy</u>	<input type="checkbox"/> Request for Correction:	
<input type="checkbox"/> Non-Publication Request	<input checked="" type="checkbox"/> OTHER: <u>SUBSTITUTE POA; REVOCATION / SUB OF POA</u>	
<input checked="" type="checkbox"/> IDS, PTO/SB/08A-B, # Ref: <u>334</u>	<u>PCT DEC AND POA</u>	
<input type="checkbox"/> Assignment - \$ _____	DUE: _____ MAILED: _____	
<input type="checkbox"/> Assignment Cvr Sheet		
<input checked="" type="checkbox"/> Mailed Via: EXPRESS MAIL	EL823269375US OR <input type="checkbox"/> Certificate of Mailing	